

## DHS SPOT CHECK AUDIT TOOL

### Standard Terms and Conditions and Federal Assurances

Contractor Name: \_\_\_\_\_

Contract Number #: \_\_\_\_\_ Provider ID (tax number): \_\_\_\_\_

Agency/Monitor should select several or all of the following areas to actively monitor during Contractor's annual program review. It is suggested that the Agency vary the areas of review each year unless the Contractor has had compliance problems that require ongoing review in a particular area.

**Ratings: P = pass F = fail NA = not applicable**

Audit Issue/Area (Suggested Data Source)	Rating (Pass / Fail / NA)			Contract Reference	Audit activity and Comments: (Note: Any area rated as failing must have a corrective action plan developed.)
1. Unlawful Harassment (personnel/training files and staff interviews)	P	F	NA	Part I & VII	
2. Civil Rights and Non Discrimination Practice (personnel files and staff/client interviews)	P	F	NA	Part I & VII	
3. Drug Free Work-Place (personnel files and staff interviews)	P	F	NA	Part I & VII	
4. Protection and Use of Client Records (personnel training and staff interviews)	P	F	NA	Part 1	
5. Code of Conduct (personnel training and staff interviews)	P	F	NA	Part I	
6. Conflicts of Interest Annual Disclosure (personnel files)	P	F	NA	Part I	
7. Insurance Indemnity Requirements (insurance policy records)	P	F	NA	Part I	
8. No Imposition of Fees with Service Contracts (client interviews)	P	F	NA	Part I	
9. DHS Licensing Standards (proof of current license)	P	F	NA	Part I	

<b>Audit Issue/Area (Suggested Data Source)</b>	<b>Rating (Pass / Fail / NA)</b>			<b>Contract Reference</b>	<b>Audit activity and Comments: (Note: Any area rated as failing must have a corrective action plan developed.)</b>
10. Grievance Procedures for Clients and Applicants (policies and procedures)	P	F	NA	Part I	
11. DHS Institutional Review Board (IRB) for all Research Involving DHS Clients, Employees and/or Their Private Data (Contractor self-certification and research records)	P	F	NA	Part I & VII	
12. Emergency Management and Business Continuity Plan (staff training records and copy of written emergency and business continuity plan)	P	F	NA	Part I	
13. Abuse Reporting Requirements (Staff interviews, training files and Contractor policies and procedures)	P	F	NA	Part VII	
14. Employment Eligibility Verification (personnel records, I-9 forms)	P	F	NA	Part VII	
15. Utah Workers Compensation Act (insurance policy records)	P	F	NA	Part I	

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CONTRACT MONITOR (Signature)

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Date

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CONTRACT MONITOR (Please Print)

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CONTRACT MONITOR (Signature)

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